

TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371

Date of Mailing:
November 17, 2005

Attorney Docket No.
0380-P02991US1

U.S. Application No. (If Known)
10/529,097

Express Mail Label No.:
EL997339641US

Int'l Application No.
PCT/IB03/04598

Int'l Filing Date
24 September 2003

Priority Date Claimed
24 September 2002

TITLE OF INVENTION
METHODS FOR PROMOTING DOPAMINERGIC NEURONAL DEVELOPMENT BY USING NG4-A SUBFAMILY AND WNT-LIGANDS

Applicant(s) for DO/EO/US
Ernesto ARENAS; Joseph WAGNER; Goncalo Castelo BRANCO; Kyle SOUSA

+Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFRE 1.76
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).

Under the paperwork reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Rec'd PCT/PTO

U.S. Application No. 10/529,097		International Application No. PCT/IB03/04598	
20. Other items or information: Copy of Missing Requirements			
The following fees are submitted:		<u>Calculations</u>	<u>PTO Use only</u>
21. [] BASIC NATIONAL FEE \$300			-----
22. [] Examination Fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33 (1)-(4) \$0 All other situations \$200			-----
23. [X] Search Fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33 (1)-(4) \$0 Search Fee(37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority \$100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB \$400 All other situations \$500			-----
Total of 21, 22, 23			
[] Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821 (c) or (e) or computer program listed in an electronic medium) (37 CFR 1.492(j)) The fee is \$250 for each additional 50 sheets of paper or fraction thereof. Total Sheets Extra Sheets No. of each add'l 50 or fraction thereof (round up to whole number) -100 = /50 = x \$250			-----
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492 (h)).		\$130	
Claims	Number Filed	Number Extra	Rate
Total Claims	-20 =		
Independent Claims	-3 =		
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			
TOTAL OF ABOVE CALCULATIONS		\$130	
[X] Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2			
SUBTOTAL =		\$65	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f))			
TOTAL NATIONAL FEE =		\$65	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property		\$0	
TOTAL FEES ENCLOSED =		\$65	
		Amount to be refunded	
11/28/2005 GFREY1 00000042 10529097		Amount to be charged	

01 FC:2617

65.00 GP

Rec'd PCT/PTO 17 NOV 2005

U.S. App. No. 10/529,097

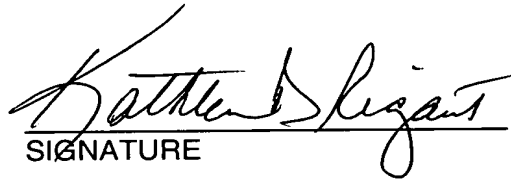
- a. ☒ A check in the amount of \$ 65.00 to cover the above fees is enclosed
- b. ☐ Please surcharge Deposit Account No. 04-1406 in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 04-1406. A duplicate copy of this sheet is enclosed.
- D. Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO_2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:
CUSTOMER NUMBER 000110

to the attention of the individual listed below.

Kathleen D. Rigaut, Ph.D., J.D.
DANN, DORFMAN, HERRELL AND
SKILLMAN
1601 Market St., Suite 2400
Philadelphia, PA 19103


SIGNATURE

Kathleen D. Rigaut, Ph.D., J.D.
NAME

43,047
REGISTRATION NUMBER



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER FOR PATENTS
 P.O. Box 1450
 Alexandria, Virginia 22313-1450
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/529,097	Ernesto Arenas	0380-P02991US1

INTERNATIONAL APPLICATION NO.	
PCT/IB03/04598	
I.A. FILING DATE	PRIORITY DATE

110
 DANN, DORFMAN, HERRELL & SKILLMAN
 1601 MARKET STREET
 SUITE 2400
 PHILADELPHIA, PA 19103-2307

CONFIRMATION NO. 1994
 371 FORMALITIES LETTER
 OC000000016794602
 OC000000016794602

Date Mailed: 08/17/2005

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Indication of Small Entity Status
- Copy of the International Application filed on 03/24/2005
- Copy of the International Search Report filed on 03/24/2005
- Preliminary Amendments filed on 03/24/2005
- U.S. Basic National Fees filed on 03/24/2005
- Priority Documents filed on 03/24/2005

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.16(f) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$65 for a Small Entity:

- \$65 Surcharge.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

FRANCINE YOUNG

Telephone: (703) 308-9140 EXT 215

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/529,097	PCT/IB03/04598	0380-P02991US1

FORM PCT/DO/EO/905 (371 Formalities Notice)